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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/941,595	08/30/2001	Lakeo Tsukamoto	35.C15726	6437

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EXAMINER

HODGES, MATTHEW P

ART UNIT	PAPER NUMBER
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2879

DATE MAILED: 05/28/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/941,595

Applicant(s)

TSUKAMOTO, TAKEO

Examiner

Matt P Hodges

Art Unit

2879

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 05 March 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-35 is/are pending in the application.
- 4a) Of the above claim(s) 28-35 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-27 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 30 August 2001 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 4.6
- 4) ☐ Interview Summary (PTO-413) Paper No(s) \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other:

## **DETAILED ACTION**

### ***Election/Restrictions***

Applicant's election without traverse of Group I in Paper No. 8 is acknowledged.

Additionally claim 27 is amended and now included in group I

### ***Drawings***

The drawings are objected to because of the following minor informalities.

Figures 13 and 14 should be designated by a legend such as --Prior Art-- because only that which is old is illustrated. See MPEP § 608.02(g). A proposed drawing correction or corrected drawings are required in reply to the Office action to avoid abandonment of the application. The objection to the drawings will not be held in abeyance.

Figures 13 and 14 include a bracket apparently pointing to the device as a whole but no reference number is associated with the bracket. A proposed drawing correction or corrected drawings are required in reply to the Office action to avoid abandonment of the application. The objection to the drawings will not be held in abeyance.

### ***Specification***

The disclosure is objected to because of the following informalities:

Page 10 lines 18-21, the sentence appears to be in conflict with the rest of the specification. Here the electric field is required to emit an electric field and is required to be larger as the distance is decreased or smaller as the radius of the emitter end is decreased.

Page 10 line 25, for clarity the specification should disclose what  $V_a$  is in the formula listed on line 25.

Page 13 line 19, the reference number 1331 appears to be a typographical error.

Page 16 lines 2-5, the sentence, and specifically the portion included within the parenthesis, appears to be missing grammatical parts or punctuation.

Page 29 lines 16-19, the sentence appears to be incomplete.

The specification appears to include a number of typographical and grammatical errors possible due to the translation. Examiner has made an attempt to point out several of which above, however it is requested that applicant carefully review specification to amend any further errors.

Appropriate correction is required.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-8 and 22-25 are rejected under 35 U.S.C. 102(e) as being anticipated by Xu et al. (US 5,973,444).

Regarding claims 1-8 and 22-25, Xu discloses an electron-emitting device including a carbon fiber, a layer made of aluminum oxide, and a catalyst of palladium for growing the carbon fibers. (Column 9 line 65 – Column 10 line 25) (Column 7 lines 52-59) (Column 5 lines 19-23). The fibers are more than 90% carbon (Column 9 lines 29-31). The fiber includes

portions of the catalyst. (Column 9 lines 32-37). Here the catalyst is disposed on the aluminum oxide layer and the fibers grown thereon. Further the fibers can include single wall (nanotubes), multiple-walled (nanotubes with graphens layered in an axial direction with respect to the fiber), or vermicular fibers (nanofibers). (Column 9 lines 40-46).

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 9, 10, 13-15, 26 and 27 are rejected under 35 U.S.C. 103(a) as being unpatentable over Yamanobe et al. (US 5,847,495) in view of Xu et al. (US 5,973,444).

Regarding claims 9 and 10, Yamanobe discloses (see figure 1b) an electron-emitting device including a first electrode (5), second electrode (4) spaced apart from the first electrode, and a means for applying voltages to the two electrodes. The first electrode is larger than the second electrode. Further Yamanobe discloses a layer of fine conductive particles partially on the first electrode to the left of the gap (2) electrically separating the two electrodes. (Column 9 lines 1-8) (Column 10 lines 20-27). Yamanobe does not appear to specify the use of carbon nanofibers grown on Pd catalyst over an Aluminum oxide layer as the emitting film. However Xu, in the same field of endeavor, discloses the use of carbon fibers grown on a conductive cathode in the manner described in the rejection of claim 1 above in order to advantageously provide small emitter tips, increased emission uniformity, and reduced manufacturing cost (the

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latter with respect to carbon fibers not grown on a catalyst as disclosed). Thus, it would have been obvious at the time the invention was made to a person having ordinary skills in the art to incorporate the use of carbon fibers grown on a conductive cathode as described by Xu into the electron emitting device as disclosed by Yamanobe in order to advantageously provide small emitter tips, increased emission uniformity, and reduced manufacturing cost.

The recitation of a higher voltage on the second electrode than applied to the first electrode has not been given patentable weight because is considered an intended used recitation. It has been held that a recitation with respect to the manner in which a claimed apparatus is intended to be employed does not differentiate the claimed apparatus from a prior art apparatus satisfying the claimed structural limitations.

Regarding claims 13-15 and 26-27, Yamanobe further discloses the use of the aforementioned electron-emitting devices in a display device (see figure 58). Here the display further comprises an anode (115) and a phosphor film (114) formed on the anode. (Column 55 lines 59-67).

Claims 11, 12, 16-21 are rejected under 35 U.S.C. 103(a) as being unpatentable over Yamanobe et al. (US 5,847,495) in view of Xu et al. (US 5,973,444) and further in view of Yoshioka et al. (5,066,883).

Regarding claims 11 and 12, Yamanobe further discloses (see figure 35ac) the alternative use of a step portion 21 under the first electrode to raise the electrode higher than the second electrode. (Column 48 lines 1-9). Yamanobe does not appear to disclose the step portion being integral with the substrate however Yoshioka, in the same field of endeavor, discloses (see figure 7) the use of directing etching the substrate in order to create the step portion and raise the first

electrode. (Column 5 lines 54-59). This direct etching advantageously eliminates the need for several manufacturing steps and thus decreases manufacturing cost. Thus, it would have been obvious at the time the invention was made to a person having ordinary skills in the art to incorporate the step portion being integral with the substrate as described by Yoshioka into the electron emitting device as disclosed by Yamanobe in view of Xu in order to advantageously eliminates the need for several manufacturing steps and thus decreases manufacturing cost.

Regarding claims 16-18, the ends of the plurality of fibers are higher off of the substrate than the second electrode.

Regarding claims 20 and 21, Yamanobe further discloses the use of the aforementioned electron-emitting devices in a display device (see figure 58). Here the display further comprises an anode (115) and a phosphor film (114) formed on the anode. (Column 55 lines 59-67). Each electron-emitting portion is independently addressable thus forming an image display device.

Regarding claim 19, Yamanobe in view of Xu and further in view of Yoshioka discloses all the claimed elements but does not appear to specify the use of a first electrode that is larger in thickness than the second electrode while also having the ends of the fibers arranged above the second electrode. However the use of a larger electrode in combination with the substrate step portions allows for smaller etchings in the substrate while still allowing for the same overall first electrode height. The ability to have smaller surface etchings in the substrate advantageously allows for a greater ease of manufacture. Thus, it would have been obvious at the time the invention was made to a person having ordinary skills in the art to incorporate larger electrode into the electron emitting device as disclosed by Yamanobe in view of Xu and further in view of Yoshioka in order to advantageously allow for a greater ease of manufacture.

*Conclusion*

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Saito (US 6,455,021) discloses the use of carbon nanotubes grown on catalyst including Pd.


Chen et al. (US 6,471,936) discloses the use of carbon graphenes in a variety of forms.

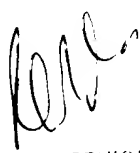
*Contact Information*

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Matt P Hodges whose telephone number is (703) 305-4015. The examiner can normally be reached on 7:30 AM to 4:00 PM M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nimesh Patel can be reached on (703) 305-4794. The fax phone numbers for the organization where this application or proceeding is assigned are (703) 308-7382 for regular communications and (703) 308-7382 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-0956.

mph   
May 16, 2003

  
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